

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/888,338	06/22/2001	Anant Sahai	60021-0013

CONFIRMATION NO. 7231

FORMALITIES LETTER



\*OC000000006425056\*

Hickman Palermo Truong & Becker LLP  
1600 Willow Street  
San Jose, CA 95125-5106

Date Mailed: 08/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/22/2001 BABRAHA1 00000086 09888338

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:203	189.00 OP
03 FC:202	210.00 OP
04 FC:205	65.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27). 370*
- Total additional claim fee(s) for this application is \$389.
  - \$189 for 21 total claims over 20. -
  - \$200 for 5 independent claims over 3. 210
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 809.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Group Art Unit No.: 2121

Anant Sahai, et al.

Examiner: Not Yet Assigned

Serial No.: 09/888,338

Filed on: June 22, 2001

For: EXTRACTING FINE-TUNED ESTIMATES FROM CORRELATION FUNCTIONS  
EVALUATED AT A LIMITED NUMBER OF VALUES

Commissioner for Patents  
Washington, D.C. 20231

Attached is a copy of the Filing Receipt received from the USPTO in the above-referenced application which contains an error in the title of the application. The changes required are marked on the enclosed copy of the Filing Receipt. Please correct the title to read:

**“EXTRACTING FINE-TUNED ESTIMATES FROM CORRELATION FUNCTIONS  
EVALUATED AT A LIMITED NUMBER OF VALUES.”**

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: October 15, 2001

Marcel K. Bingham  
Reg. No. 42,327

1600 Willow Street  
San Jose, California 95125-5106  
Telephone: (408) 414-1080  
Facsimile: (408) 414-1076

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

on October 15, 2001

by

CMT/CF

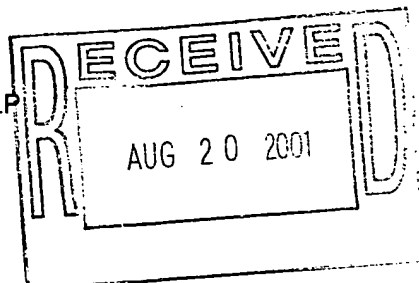


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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/888,338 ✓	06/22/2001/	2121	0.00/	60021-0013 ✓	4 ✓	41 ✓	8 ✓

Hickman Palermo Truong & Becker LLP  
1600 Willow Street  
San Jose, CA 95125-5106



CONFIRMATION NO. 7231

## FILING RECEIPT



\*OC000000006425055\*

Date Mailed: 08/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

- ✓ Anant Sahai, Residence Not Provided;
- ✓ John Tsitsiklis, Residence Not Provided;
- ✓ Stefano Casadei, Residence Not Provided;
- ✓ Andrew Chou, Residence Not Provided;
- ✓ Benjamin Van Roy, Residence Not Provided;
- ✓ Jesse Robert Stone, Residence Not Provided;

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 08/14/2001

✓ Projected Publication Date: Request for Non-Publication Acknowledged

✓ Non-Publication Request: Yes

✓ Early Publication Request: No

✓ \*\* SMALL ENTITY \*\*

DOCKETED

DATES:

8/21/01

ENTRY  
DATA  
BASE

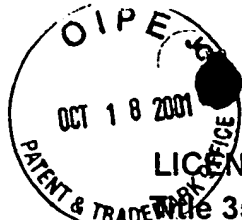
## Title

Extracting fine-tuned estimates from correlation functions evaluated at a limited number of values  
[field of the invention] ?

708

**Date:** 08/15/2001

~~[REDACTED]~~



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Receipt  
\$  
#3



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Anant Sahai, et al

Confirmation No.: 7231

Application No.: 09/888,338

Group Art Unit: 2121

Filed: June 22, 2001

Examiner: Not Assigned

Title: EXTRACT FINE-TUNED ESTIMATES FROM CORRELATION FUNCTIONS EVALUATED AT A LIMITED NUMBER OF VALUES

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f). Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

(X) Statutory basic filing fee: Small Entity \$370.00

(X) Additional claim fees of \$399.00

(X) Missing Parts Surcharge of \$65.00

( ) IDS and 1449 (\_\_\_ reference attached)

(X) Request for Corrected Filing Receipt

(X) A check in the amount of \$834.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 50-1302.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 10/15/01

Typed Name: Annette Jacobs

Signature: 

Respectfully submitted,

By 

Marcel K. Bingham, Reg. No. 42,327

Date: October 15, 2001

Telephone No.: (408) 414-1080

Hickman Palermo Truong & Becker LLP

1600 Willow Street

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